

PATENT APPLICATION SERIAL NO. 10-030884

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE
FEE RECORD SHEET

01/18/2002 UEDUVIJE 00000019 10030504

01 FC:970	890.00 OP
02 FC:966	198.00 OP

Adjustment date: 04/22/2002 MNGUYEN
01/18/2002 UEDUVIJE 00000019 10030504

01 FC:970	-890.00 OP
02 FC:966	-198.00 OP

04/22/2002 MNGUYEN 00000118 10030504

01 FC:971	445.00 OP
02 FC:967	99.00 OP

Repln. Ref: 04/22/2002 MNGUYEN 0014335600

DAN:033125 Name/Number:10030504

FC: 704 \$544.00 CR

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5

Not Yet Known 10/030504

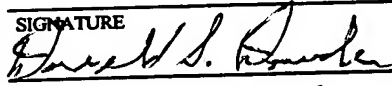
INTERNATIONAL APPLICATION NO.
PCT/IB00/00918INTERNATIONAL FILING DATE
July 7, 2000PRIORITY DATE CLAIMED
July 9, 1999TITLE OF INVENTION
DNA Polymorphisms in Sterol Regulator Element Binding ProteinsAPPLICANT(S) FOR DO/EO/US
André R. Miserez

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). (unsigned)
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: Please see attached page 3.

U.S. APPLICATION NO. (If known, see 37 CFR 1.53) Not Yet Known 10/05/00 04		INTERNATIONAL APPLICATION NO. PCT/IB00/00918		531 Rec'd PCT/PT 08 JAN 2002 ATTORNEY'S DOCKET NUMBER 0796/66513																															
21. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO..... \$1040.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$890.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$740.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$710.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT =				CALCULATIONS PTO USE ONLY																															
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$ 890.00																															
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 20%;">CLAIMS</th> <th style="width: 20%;">NUMBER FILED</th> <th style="width: 20%;">NUMBER EXTRA</th> <th style="width: 20%;">RATE</th> <th style="width: 20%;">\$</th> </tr> </thead> <tbody> <tr> <td>Total claims</td> <td>31 - 20 =</td> <td>11</td> <td>x \$18.00</td> <td>\$ 198.00</td> </tr> <tr> <td>Independent claims</td> <td>3 - 3 =</td> <td>0</td> <td>x \$84.00</td> <td>\$ 0.00</td> </tr> <tr> <td colspan="3"></td> <td>+ \$280.00</td> <td>\$ 0.00</td> </tr> <tr> <td colspan="4">MULTIPLE DEPENDENT CLAIM(S) (if applicable)</td> <td>\$ 1,088.00</td> </tr> <tr> <td colspan="4" style="text-align: center;">TOTAL OF ABOVE CALCULATIONS =</td> <td></td> </tr> </tbody> </table>				CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	Total claims	31 - 20 =	11	x \$18.00	\$ 198.00	Independent claims	3 - 3 =	0	x \$84.00	\$ 0.00				+ \$280.00	\$ 0.00	MULTIPLE DEPENDENT CLAIM(S) (if applicable)				\$ 1,088.00	TOTAL OF ABOVE CALCULATIONS =					\$ 0.00	
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MULTIPLE DEPENDENT CLAIM(S) (if applicable)				\$ 1,088.00																															
TOTAL OF ABOVE CALCULATIONS =																																			
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$																															
SUBTOTAL =				\$ 1,088.00																															
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$ 0.00																															
TOTAL NATIONAL FEE =				\$ 1,088.00																															
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$																															
TOTAL FEES ENCLOSED =				\$ 1,088.00																															
				Amount to be refunded: \$																															
				charged: \$																															
a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>1,088.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>03-3125</u> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.																																			
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.																																			
SEND ALL CORRESPONDENCE TO: <div style="display: flex; justify-content: space-between;"> <div style="width: 60%;"> Donald S. Dowden Cooper & Dunham LLP 1185 Avenue of the Americas New York, New York 10036 (212) 278-0400 </div> <div style="width: 35%; text-align: right;"> SIGNATURE  NAME Donald S. Dowden REGISTRATION NUMBER 20,701 </div> </div>																																			

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : André R. Miserez

Serial No. : Not Yet Known

Filing Date : Herewith

For : DNA Polymorphisms in Sterol Regulator Element Binding Proteins

International Application No. : PCT/IB00/00918

Priority Date Claimed : July 9, 1999

Group A.U. : Not Yet Known

Examiner : Not Yet Known

List of Other Items of Information

1. Express Mail Certificate of Mailing No. EL013823102US;
2. Copy of PCT Request;
3. Copy of PCT Demand;
4. Copy of PCT Notification of Transmittal of the International Preliminary Examination Report;
5. Copy of International Preliminary Examination Report;
6. Copy of PCT Written Opinion dated June 19, 2001;
7. Copy of Answer dated September 17, 2001;
8. Copy of PCT Notification of Receipt of Record Copy; and
9. Return Postcard.

08 JAN 2002

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Attorney for Applicant
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(212) 278-0400